

10/23/00

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Attorney Docket No.	4002-2512
First Inventor	George Frey
Title	DEVICES AND TECHNIQUES FOR A POSTERIOR LATERAL DISC SPACE APPROACH
Express Mail Label No.	EM 485 917 445 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- |  |   |
|--|---|
| 1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB/17)<br>(submit an original and a duplicate for fee processing)  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages <b>38</b> ]<br>(preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference sequence listing, a table, or a computer program listing<br/>appendix or computer program listing appendix</li><li>- Background of the invention</li><li>- Brief Summary of the Investigation</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on: <ul style="list-style-type: none"><li><input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li><input type="checkbox"/> paper</li></ul> c. <input type="checkbox"/> Statements verifying identity of above copies |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>39</b> ]  |   |
| 5. Oath or Declaration [Total Pages <b>77</b> ] <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)(UNSIGNED)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d))<br/>(for continuation/divisional with Box 17 completed)</li><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s)<br/>named in the prior application, see 37 C.F.R. §§<br/>1.63(d)(2) and 1.33(b).</li></ul>   |   |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |   |

**ACCOMPANYING APPLICATION PARTS**

- |   |   |
|---|---|
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))                                       |   |
| 10. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement<br>(when there is an assignee)                       | <input type="checkbox"/> Power of Attorney          |
| 11. <input type="checkbox"/> English Translation Document (if applicable)                                       |   |
| 12. <input type="checkbox"/> Information Disclosure<br>Statement (IDS)/PTO-1449                                 | <input type="checkbox"/> Copies of IDS<br>Citations |
| 13. <input type="checkbox"/> Preliminary Amendment  |   |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized) |   |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)         |   |
| 16. <input type="checkbox"/> Other: .....   |   |

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No: .....
Prior application information: Examiner: .....			Group / Art Unit: .....

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label  
(Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	Douglas A. Collier Woodard, Emhardt, Naughton, Moriarty and McNett				
Address	Bank One Center/Tower 111 Monument Circle, Suite 3700				
City	Indianapolis	State	IN	Zip Code	46204-5137
Country	USA	Telephone	(317) 634-3456	Fax	(317) 637-7561
Name (Print/Type)	Douglas A. Collier			Registration No. (Attorney/Agent)	43,556
Signature	<i>Douglas A. Collier</i>			Date	October 23, 2000

**Express Mail Label Number** EM 485 917 445 US **Date of Deposit** October 23, 2000

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR Section 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington DC 20231.

*Patricia E. Allgood*  
Signature of person mailing paper or fee

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# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number  
Filing Date  
First Named Inventor **Georg Frey**  
Group Art Unit  
Examiner Name  
Attorney Docket Number **4002-2512**

Total Amount of Payment (\$)**1632.00**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

**23-3030**

Deposit  
Account Name

**Woodard, Emhardt, Naughton, Moriarty & McNett**

☒ Charge any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility Filing Fee	<b>710</b>
106	320	206	160	Design Filing Fee	
107	490	207	245	Plant Filing Fee	
108	710	208	355	Reissue Filing Fee	
114	150	214	75	Provisional Filing Fee	
<b>SUBTOTAL (1)</b>					<b>(\$710)</b>

### 2. EXTRA CLAIM FEES

		Extra Claims		Fee From Below		Fee Paid	
Total Claims	49	-20** =	29	X	18	=	522
Independent Claims	8	-3** =	5	X	80	=	400
Multiple Dependent						=	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$)**922**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other Fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)

## SUBMITTED BY

Name (Print/Type)

**Douglas A Collier**

Registration No.  
(Attorney/Agent)

**43,556**

Telephone

Complete (if applicable)

**(317) 634-3456**

Signature

*Douglas A. Collier*

Date

**October 23, 2000**

Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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